



August 30, 2023

VIA FOIAONLINE.REGULATIONS.GOV

U.S. Environmental Protection Agency  
Office of Water

Re: Freedom of Information Act Request: Ballast Water (Fifth Request)

Dear FOIA Officer:

This is a request under the Freedom of Information Act<sup>1</sup> (“FOIA”) from the Center for Biological Diversity (“Center”), a non-profit organization that works to secure a future for all species hovering on the brink of extinction through science, law, and creative media, and to fulfill the continuing educational goals of its membership and the general public in the process.

### REQUESTED RECORDS

The Center requests from the U.S. Environmental Protection Agency (“EPA”), Office of Water:’

1. From December 19, 2013 to the date EPA conducts this search:

The records, including databases, that include the following information on all enforcement actions or corrective actions initiated or completed by EPA under Part 1.4 *Permit Compliance* or Part 1.8 *Alternative Permits* of the 2013 VGP, and all corrective actions required by EPA under Part 3. *Corrective Actions* of the 2013 VGP, for vessels that violated the requirement to submit ballast water reporting forms to the National Ballast Information Clearinghouse, in Part 4.3 *Additional Recordkeeping for Vessels Equipped with Ballast Tanks* of the 2013 VGP, or that submitted incomplete or inaccurate reporting forms: (1) the vessel name; (2) the vessel's IMO identification number; (3) the vessel type; (4) the date of the violation; (5) a description of the violation; and (6) the penalty imposed and/or the correction action required by EPA.

*Please note:* Summary documents that provide the requested information over the specified period would satisfy this request. If such summary documents do not exist, then we request all documents describing or reporting each enforcement action taken or corrective action required by EPA in response to violations of the requirement to submit complete and accurate ballast water reporting forms in Part 4.3 during the specified period. Alternatively, if there are other sets of documents that would provide the information we are seeking, but which would be less work for EPA to provide, we are willing to consider accepting them in lieu.

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<sup>1</sup> 5 U.S.C. § 552, *as amended*.

2. From December 19, 2013 to the date EPA conducts this search:

The records, including databases, that include the following information on all enforcement actions or corrective actions initiated or completed by EPA under Part 1.4 *Permit Compliance* or Part 1.8 *Alternative Permits* of the 2013 VGP, and all corrective actions required by EPA under Part 3. *Corrective Actions* of the 2013 VGP, for vessels that violated any of the monitoring requirements in Parts 2.2.3.5.1.1.1 to 2.2.3.5.1.1.6 of the 2013 VGP: (1) the vessel name; (2) the vessel's IMO identification number; (3) the vessel type; (4) the date of the violation; (5) a description of the violation; and (6) the penalty imposed and/or the correction action required by EPA.

*Please note:* Summary documents that provide the requested information over the specified period would satisfy this request. If such summary documents do not exist, then we request all documents describing or reporting each enforcement action taken or corrective action required by EPA in response to violations of any of the monitoring requirements in Parts 2.2.3.5.1.1.1 to 2.2.3.5.1.1.6 during the specified period. Alternatively, if there are other sets of documents that would provide the information we are seeking, but which would be less work for EPA to provide, we are willing to consider accepting them in lieu.

3. The cover page or pages showing the date of the report (labeled EPA Working Draft) from which Document EPA-HQ-OW-2019-0482-0828 was excerpted.
4. The “memorandum titled *AMS Data Quality Review*” referenced in the first paragraph on page 8-6 of the document labeled “SECTION 8 BWMS Performance 10\_\_\_\_10\_17.pdf” provided in response to request #EPA-2023-004321. Note that although the sentence referencing the memorandum states that it is “available in the VGP docket,” no proposed VGP was published and, as far as we are aware, there was never a public docket for it. We have searched the docket for the current relevant rulemaking (on vessel incidental discharges) and have not found a memorandum titled *AMS Data Quality Review*.

5. From December 11, 2015 to September 13, 2019:

Meeting notes taken by or in the possession of EPA or its contractor Eastern Research Group (ERG) of any meetings or conference calls during this period that discussed the development or use of the rating system for reviewing BWMS performance data, or discussed in the section titled “Ballast Water Treatment System Performance” or “Ballast Water Management System Performance” in the Technical Development Document titled “Current State of Ballast Water Management.” From emails provided in response to request #EPA-2023-004321, these include but are not limited to: a call that included ERG and an individual named Marcus, and possibly also EPA, between 4/4/2016 and 6/2/2016; a call that included Jack Faulk and ERG, described as their last project status call before 6/23/2016; a call that included Jack Faulk and ERG on 8/4/2016; and a call that included Jack Faulk and ERG, described as their last project conference call before 1/4/2017.

For this request, the term “records” refers to documents, correspondence (including inter and/or intra-agency correspondence as well as correspondence with entities or individuals outside the federal government), *emails including attachments*, letters, notes, recordings, telephone records, telephone notes, telephone logs, text messages, chat messages, minutes, memoranda, comments, files, presentations, consultations, biological opinions, assessments, evaluations, schedules, papers published and/or unpublished, reports, studies, photographs and other images, data (including raw data, GPS or GIS data, UTM, LiDAR, etc.), maps, and/or all other responsive records, in draft or final form.

This request is not meant to exclude any other records that, although not specially requested, are reasonably related to the subject matter of this request. If you or your office have destroyed or determine to withhold any records that could be reasonably construed to be responsive to this request, I ask that you indicate this fact and the reasons therefore in your response.

Under the FOIA Improvement Act of 2016, agencies are prohibited from denying requests for information under FOIA unless the agency reasonably believes release of the information will harm an interest that is protected by the exemption.<sup>2</sup>

Should you decide to invoke a FOIA exemption, please include sufficient information for us to assess the basis for the exemption, including any interest(s) that would be harmed by release. Please include a detailed ledger which includes:

1. Basic factual material about each withheld record, including the originator, date, length, general subject matter, and location of each item; and
2. Complete explanations and justifications for the withholding, including the specific exemption(s) under which the record (or portion thereof) was withheld and a full explanation of how each exemption applies to the withheld material. Such statements will be helpful in deciding whether to appeal an adverse determination. Your written justification may help to avoid litigation.

If you determine that portions of the records requested are exempt from disclosure, we request that you segregate the exempt portions and mail the non-exempt portions of such records to my attention at the address below within the statutory time limit.<sup>3</sup>

The Center is willing to receive records on a rolling basis.

### THE FREEDOM OF INFORMATION ACT

The purpose of FOIA is to “open agency action to the light of public scrutiny.”<sup>4</sup> President Biden emphasized the “presumption of openness” with regard to FOIA.<sup>5</sup> Attorney General Merrick

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<sup>2</sup> FOIA Improvement Act of 2016 (Public Law No. 114-185), codified at 5 U.S.C. § 552(a)(8)(A).

<sup>3</sup> 5 U.S.C. § 552(b).

<sup>4</sup> *Dep’t of the Air Force v. Rose*, 425 U.S. 352, 372 (1976).

<sup>5</sup> *See Presidential Memorandum for Heads of Executive Departments and Agencies Concerning the Freedom of Information Act Guidelines*, (Mar. 15, 2022).

Garland's memorandum guides agencies to 1) withhold records only if they reasonably foresee that disclosure would harm an interest protected by one of the nine exemptions that FOIA enumerates or disclosure is prohibited by law, 2) make proactive disclosures, 3) remove barriers to access, and 4) ensure fair and effective FOIA administration.<sup>6</sup> In another prior memorandum, Former Attorney General Eric Holder set forth the "foreseeable harm" standard for defending agency decisions to withhold information under FOIA.<sup>7</sup> Thus, the DOJ will defend an agency's denial of a FOIA request "only if (1) the agency reasonably foresees that disclosure would harm an interest protected by one of the statutory exemptions, or (2) disclosure is prohibited by law."<sup>8</sup> These authorities remain in effect.

FOIA's "frequently requested record" provision was enacted as part of the 1996 Electronic Freedom of Information Act Amendments, and requires all federal agencies to give "reading room" treatment to any FOIA-processed records that, "because of the nature of their subject matter, the agency determines have become the subject of subsequent requests for substantially the same records."<sup>9</sup> Also, enacted as part of the 2016 FOIA Improvement Act, FOIA's Rule of 3 requires all federal agencies to proactively "make available for public inspection in an electronic format" "copies of records, regardless of form or format ... that have been released to any person ... and ... that have been requested 3 or more times."<sup>10</sup> Therefore, we respectfully request that you make available online any records that the agency determines will become the subject of subsequent requests for substantially the same records, and records that have been requested three or more times.

Finally, agencies must preserve all the records requested herein while this FOIA is pending or under appeal. The agency shall not destroy any records while they are the subject of a pending request, appeal, or lawsuit under the FOIA.<sup>11</sup> If any of the requested records are destroyed, the agency and responsible officials are subject to attorney fee awards and sanctions, including fines and disciplinary action. A court held an agency in contempt for "contumacious conduct" and ordered the agency to pay plaintiff's costs and fees for destroying "potentially responsive material contained on hard drives and email backup tapes."<sup>12</sup> In another case, in addition to imposing a \$10,000 fine and awarding attorneys' fees and costs, the court found that an Assistant

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<sup>6</sup> See *id.*; Former President Obama reinforced FOIA's strong presumption of disclosure with regard to all FOIA decisions. See *Presidential Memorandum for Heads of Executive Departments and Agencies Concerning the Freedom of Information Act*, 74 Fed. Reg. 4683 (Jan. 21, 2009) (directing agencies to administer FOIA under a presumption that guidelines reinforce a commitment to open government, encouraging federal agencies to both "make discretionary releases of information" and to "make partial disclosures" when an agency determines full disclosure is not possible). See also *Former Attorney General Eric Holder's Memorandum for Heads of Executive Departments and Agencies* (Mar. 19, 2009).

<sup>7</sup> *Id.*

<sup>8</sup> See *id.*

<sup>9</sup> *Id.* § 552(a)(2)(D)(ii)(I).

<sup>10</sup> *Id.* § 552(a)(2)(D)(ii)(II).

<sup>11</sup> 40 C.F.R. § 2.106; see *Chambers v. U.S. Dept. of Interior*, 568 F.3d 998, 1004 (D.C. Cir. 2009) ("[A]n agency is not shielded from liability if it intentionally transfers or destroys a document after it has been requested under FOIA or the Privacy Act").

<sup>12</sup> *Landmark Legal Found. v. EPA*, 272 F. Supp.2d 59, 62 (D.D.C. 2003); see also *Judicial Watch, Inc. v. Dept. of Commerce*, 384 F. Supp. 2d 163, 169 (D.D.C. 2005) (awarding attorneys' fees and costs because, among other factors, agency's "initial search was unlawful and egregiously mishandled and ... likely responsive documents were destroyed and removed"), *aff'd in relevant part*, 470 F.3d 363, 375 (D.C. Cir. 2006) (remanding in part to recalculate attorney fees assessed).

United States Attorney prematurely “destroyed records responsive to [the] FOIA request while [the FOIA] litigation was pending” and referred him to the Department of Justice’s Office of Professional Responsibility.<sup>13</sup>

### FORMAT OF REQUESTED RECORDS

Under FOIA, you are obligated to provide records in a readily accessible electronic format and in the format requested.<sup>14</sup> “Readily accessible” means text-searchable and OCR-formatted.<sup>15</sup> Pursuant to this requirement, we hereby request that you produce all records in an electronic format and in their native file formats. Additionally, please provide the records in a load-ready format with a CSV file index or Excel spreadsheet. If you produce files in .PDF format, then please omit any “portfolios” or “embedded files.” Portfolios and embedded files within files are not readily accessible. Please do not provide the records in a single, or “batched,” .PDF file. We appreciate the inclusion of an index.

If you should seek to withhold or redact any responsive records, we request that you: (1) identify each such record with specificity (including date, author, recipient, and parties copied); (2) explain in full the basis for withholding responsive material; and (3) provide all segregable portions of the records for which you claim a specific exemption.<sup>16</sup> Please correlate any redactions with specific exemptions under FOIA.

### RECORD DELIVERY

We appreciate your help in expeditiously obtaining a determination on the requested records. As mandated in FOIA, we anticipate a reply within 20 working days.<sup>17</sup> Failure to comply within the statutory timeframe may result in the Center taking additional steps to ensure timely receipt of the requested materials. Please provide a complete reply as expeditiously as possible. We prefer email, but you may mail copies of records to:

Ann K. Brown  
Center for Biological Diversity  
P.O. Box 11374  
Portland, OR 97211  
foia@biologicaldiversity.org

If you find that this request is unclear, or if the responsive records are voluminous, please email me to discuss the scope of this request.

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<sup>13</sup> *Jefferson v. Reno*, 123 F. Supp. 2d 1, 6 (D.D.C. 2000).

<sup>14</sup> 5 U.S.C. § 552(a)(3)(B) (“In making any record available to a person under this paragraph, an agency shall provide the record in any form or format requested by the person if the record is readily reproducible by the agency in that form or format.”).

<sup>15</sup> *See id.*

<sup>16</sup> *Id.* § 552(b).

<sup>17</sup> *Id.* § 552(a)(6)(A)(i).

## REQUEST FOR FEE WAIVER

FOIA was designed to provide citizens a broad right to access government records. FOIA's basic purpose is to "open agency action to the light of public scrutiny," with a focus on the public's "right to be informed about what their government is up to."<sup>18</sup> In order to provide public access to this information, FOIA's fee waiver provision requires that "[d]ocuments shall be furnished without any charge or at a [reduced] charge," if the request satisfies the standard<sup>19</sup>. FOIA's fee waiver requirement is "liberally construed."<sup>20</sup>

The 1986 fee waiver amendments were designed specifically to provide non-profit organizations such as the Center access to government records without the payment of fees. Indeed, FOIA's fee waiver provision was intended "to prevent government agencies from using high fees to discourage certain types of requesters and requests," which are "consistently associated with requests from journalists, scholars, and *non-profit public interest groups*."<sup>21</sup> As one Senator stated, "[a]gencies should not be allowed to use fees as an offensive weapon against requesters seeking access to Government information ... ." <sup>22</sup>

### I. The Center Qualifies for a Fee Waiver.

Under FOIA, a party is entitled to a fee waiver when "disclosure of the information is in the public interest because it is likely to contribute significantly to public understanding of the operations or activities of the [Federal] government and is not primarily in the commercial interest of the requester."<sup>23</sup> EPA's regulations establish the same standard.<sup>24</sup>

Thus, EPA must consider six factors to determine whether a request is in the public interest: (1) whether the subject of the requested records concerns "the operations or activities of the Federal government," (2) whether the disclosure is "likely to contribute" to an understanding of government operations or activities, (3) whether the disclosure "will contribute to public understanding" of a reasonably broad audience of persons interested in the subject, (4) whether the disclosure is likely to contribute "significantly" to public understanding of government operations or activities<sup>25</sup>, (5) whether a commercial interest exists and its magnitude, and (6) the primary interest in disclosure. As shown below, the Center meets each of these factors.

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<sup>18</sup> *NARA v. Favish*, 541 U.S. 157, 171 (2004) quoting *U.S. Dep't of Justice v. Reporters Comm. for Freedom of Press*, 489 U.S. 749, 773-74 (1989) (internal quotation and citations omitted).

<sup>19</sup> 5 U.S.C. § 552(a)(4)(A)(iii).

<sup>20</sup> *Judicial Watch, Inc. v. Rossotti*, 326 F.3d 1309, 1310 (D.C. Cir. 2003); *Forest Guardians v. U.S. Dept. of Interior*, 416 F.3d 1173, 1178 (10th Cir. 2005).

<sup>21</sup> *Ettlinger v. FBI*, 596 F. Supp. 867, 872 (D. Mass. 1984) (emphasis added).

<sup>22</sup> 132 Cong. Rec. S. 14298 (statement of Senator Leahy).

<sup>23</sup> 5 U.S.C. § 552(a)(4)(A)(iii).

<sup>24</sup> 40 C.F.R. § 2.107(l)(1)-(3).

<sup>25</sup> *Id.* § 2.107(l)(2).

A. The Subject of This Request Concerns “The Operations and Activities of the Government.”

The subject matter of this request concerns the operations and activities of the EPA. This FOIA request will provide the Center and the public with crucial insight into EPA’s regulation of ballast water discharges. It is clear that a federal agency’s oversight of vessel discharge pursuant to federal law is identifiable activity of the government, and in this case it is the executive branch agency of EPA.<sup>26</sup> Thus, the Center meets this factor.

B. Disclosure is “Likely to Contribute” to an Understanding of Government Operations or Activities.

The requested records are meaningfully informative about government operations or activities and will contribute to an increased understanding of those operations and activities by the public.

Disclosure of the requested records will allow the Center to convey to the public information about EPA’s regulation of ballast water from vessels, and the agency’s protection of water quality from invasive species and disease. Once the information is made available, the Center will analyze it and present it to its over 1.7 million members and online activists and the general public in a manner that will meaningfully enhance the public’s understanding of this topic.

Thus, the requested records are likely to contribute to an understanding of EPA’s operations and activities.

C. Disclosure of the Requested Records Will Contribute to a Reasonably Broad Audience of Interested Persons’ Understanding of EPA’s Regulation of Ballast Discharge.

The requested records will contribute to public understanding of whether EPA’s actions are consistent with its mission and purpose. As explained above, the records will contribute to public understanding of this topic.

Activities of EPA generally, and specifically its management of vessels’ discharge of ballast water and its implementation of federal laws, are areas of interest to a reasonably broad segment of the public. The Center will use the information it obtains from the disclosed records to educate the public at large about this topic.<sup>27</sup>

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<sup>26</sup> *Judicial Watch*, 326 F.3d at 1313 (“[R]easonable specificity is all that FOIA requires with regard to this factor”) (internal quotations omitted).

<sup>27</sup> See *W. Watersheds Proj. v. Brown*, 318 F. Supp.2d 1036, 1040 (D. Idaho 2004) (finding that “WWP adequately specified the public interest to be served, that is, educating the public about the ecological conditions of the land managed by the BLM and also how ... management strategies employed by the BLM may adversely affect the environment”).

Through the Center's synthesis and dissemination (by means discussed in Section II, below), disclosure of information contained in and gleaned from the requested records will contribute to a broad audience of persons who are interested in the subject matter.<sup>28</sup>

Indeed, the public does not currently have an ability to easily evaluate the requested records, which are not currently in the public domain.<sup>29</sup> As the Ninth Circuit observed in *McClellan Ecological Seepage Situation v. Carlucci*, "[FOIA] legislative history suggests that information [has more potential to contribute to public understanding] to the degree that the information is new and supports public oversight of agency operations... ." <sup>30</sup>

Disclosure of these records is not only "likely to contribute," but is certain to contribute, to public understanding of the extent to which EPA is regulating water quality and vessel discharge. The public is always well served when it knows how the government conducts its activities, particularly matters touching on legal questions. Hence, there can be no dispute that disclosure of the requested records to the public will educate the public about this topic.

## II. Disclosure is Likely to Contribute Significantly to Public Understanding of Government Operations or Activities.

The Center is not requesting these records merely for their intrinsic informational value. Disclosure of the requested records will significantly enhance the public's understanding of what technologies are available to protect our bodies of water and aquatic life, as compared to the level of public understanding that exists prior to the disclosure. Indeed, public understanding will be *significantly* increased as a result of disclosure because the requested records will help reveal more about this subject matter.

The records are also certain to shed light on EPA's compliance with its own mission. Such public oversight of agency action is vital to our democratic system and clearly envisioned by the drafters of the FOIA. Thus, the Center meets this factor as well.

## III. Obtaining the Requested Records is of No Commercial Interest to the Center.

Access to government records, disclosure forms, and similar materials through FOIA requests is essential to the Center's role of educating the general public. Founded in 1994, the Center is a 501(c)(3) nonprofit conservation organization (EIN: 27-3943866) with more than over 1.7

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<sup>28</sup> *Ettlinger v. FBI*, 596 F. Supp. at 876 (benefit to a population group of some size distinct from the requester alone is sufficient); *Carney v. Dept. of Justice*, 19 F.3d 807, 815 (2d Cir. 1994), *cert. denied*, 513 U.S. 823 (1994) (applying "public" to require a sufficient "breadth of benefit" beyond the requester's own interests); *Cnty. Legal Servs. v. Dep't of Hous. & Urban Dev.*, 405 F. Supp.2d 553, 557 (E.D. Pa. 2005) (in granting fee waiver to community legal group, court noted that while the requester's "work by its nature is unlikely to reach a very general audience," "there is a segment of the public that is interested in its work").

<sup>29</sup> *See Cnty. Legal Servs.*, 405 F. Supp.2d at 560 (because requested records "clarify important facts" about agency policy, "the CLS request would likely shed light on information that is new to the interested public.").

<sup>30</sup> *McClellan Ecological Seepage Situation v. Carlucci*, 835 F.2d 1282, 1286 (9th Cir. 1987). In this connection, it is immaterial whether any portion of the Center's request may currently be in the public domain because the Center requests considerably more than any piece of information that may currently be available to other individuals. *See Judicial Watch*, 326 F.3d at 1315.



million members and online activists dedicated to the protection of endangered and threatened species and wild places. The Center has no commercial interest and will realize no commercial benefit from the release of the requested records.

#### IV. The Center's Primary Interest in Disclosure is the Public Interest.

As stated above, the Center has no commercial interest that would be furthered by disclosure. Although even if it did have an interest, the public interest would far outweigh any pecuniary interest.

The Center is a non-profit organization that informs, educates, and counsels the public regarding environmental issues, policies, and laws relating to environmental issues. The Center has been substantially involved in the activities of numerous government agencies for over 30 years, and has consistently displayed its ability to disseminate information granted to it through FOIA.

In consistently granting the Center's fee waivers, agencies have recognized: (1) that the information requested by the Center contributes significantly to the public's understanding of the government's operations or activities; (2) that the information enhances the public's understanding to a greater degree than currently exists; (3) that the Center possesses the expertise to explain the requested information to the public; (4) that the Center possesses the ability to disseminate the requested information to the general public; (5) and that the news media recognizes the Center as an established expert in the field of imperiled species, biodiversity, and impacts on protected species. The Center's track record of active participation in oversight of governmental activities and decision making, and its consistent contribution to the public's understanding of those activities as compared to the level of public understanding prior to disclosure are well established.

The Center's work appears in over 5,000 news stories online and in print, radio, and TV per month, including regular reporting in such important outlets as *The New York Times*, *Washington Post*, *The Guardian*, *Los Angeles Times*, and *USA Today*. Many media outlets have reported on the pollutants to our water utilizing information obtained by the Center from state and federal agencies. In 2022, more than 4.1 million people visited the Center's extensive website, viewing pages more than 6 million times. In 2022, nearly 1.5 million actions were completed by more than 1.7 million members and supporters. Three times a year, the Center sends printed newsletters to more than 82,000 members. More than 614,000 people follow the Center on Facebook, and there are regular postings regarding the protection of oceans and marine life. The Center also regularly tweets to more than 138,500 followers on Twitter, and has more than 47,000 followers on Instagram. The Center intends to use any or all of these far-reaching media outlets to share with the public information obtained as a result of this request. The Center intends to use any or all of these far-reaching media outlets to share with the public information obtained as a result of this request.

Public oversight and enhanced understanding of the EPA's duties is absolutely necessary. In determining whether disclosure of requested information will contribute significantly to public understanding, a guiding test is whether the requester will disseminate the information to a

reasonably broad audience of persons interested in the subject.<sup>31</sup> The Center need not show how it intends to distribute the information, because “[n]othing in FOIA, the [agency] regulation, or our case law require[s] such pointless specificity.”<sup>32</sup> It is sufficient for the Center to show how it distributes information to the public generally.<sup>33</sup>

V. Conclusion

For all of the foregoing reasons, the Center qualifies for a full fee waiver. We hope that EPA will immediately grant this fee waiver request and begin to search and disclose the requested records without any unnecessary delays.

If you have any questions, please contact me at foia@biologicaldiversity.org. All records and any related correspondence should be sent to my attention at the address below.

Sincerely,

A handwritten signature in dark ink, appearing to read "Ann K. Brown", with a stylized, flowing script.

Ann K. Brown  
Open Government Coordinator  
CENTER FOR BIOLOGICAL DIVERSITY  
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Portland, OR 97211-0374  
foia@biologicaldiversity.org

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<sup>31</sup> *Carney*, 19 F.3d 807.

<sup>32</sup> *Judicial Watch*, 326 F.3d at 1314.

<sup>33</sup> *Id.*